

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
GENENT.073A2APPLICATION NO.  
09/811,123INFORMATION DISCLOSURE STATEMENT  
BY APPLICANTAPPLICANT  
ERICKSON et alFILING DATE  
March 18, 2001GROUP  
1614

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
Art	27	5,480,968	01/02/96	Kraus et al.	530	326	11/10/92
	28	5,677,171	10/14/97	Hudziak et al.	435	240.27	08/05/94
	29	5,772,997	06/30/98	Hudziak et al.	424	130.1	05/23/95
	30	5,783,186	07/21/98	Arakawa et al.	424	143.1	12/05/95
	31	5,821,337	10/13/98	Carter et al.	530	387.3	08/21/92
	32	5,824,311	10/20/98	Green et al.	424	138.1	11/30/94
	33	5,837,234	11/17/98	Gentile et al.	424	93.7	06/07/95
	34	5,840,525	11/24/98	Vandlen et al.	435	69.1	05/31/95
	35	5,968,517	10/19/99	Duncan et al.	424	195.1	05/22/97

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
Art	36	0.425.235-A2	02.05.91	EPO				
Art	37	WO/89/06692	27.07.89	PCT				
Art	38	WO/93/21319	28.10.93	PCT				
Art	39	WO/94/22478	13.10.94	PCT				
Art	40	WO/94/00136	06.01.94	PCT				
Art	41	WO/96/16173	30.05.96	PCT				
Art	42	WO/97/00271	03.01.97	PCT				
Art	43	WO/97/04801	13.02.97	PCT				
Art	44	WO/98/02463	22.01.98	PCT				
Art	45	WO/98/17797	30.04.98	PCT				
Art	46	WO/99/31140	24.06.99	PCT				
Art	47	WO/00/20579	13.04.00	PCT				
Art	48	WO/00/69460	23.11.00	PCT				
Art	49	WO/01/00238 A1	04.01.01	PCT				
Art	50	WO/01/00244 A2	04.01.01	PCT				

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
Alt	51	WO-01/45730-A1	08/03/01	PT				

## OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

EXAMINER INITIAL		
Alt	52	Aasland et al., "Expression of oncogenes in thyroid tumours: Coexpression of c-erbB2/neu and c-erbB." <i>Br. J. Cancer</i> , Vol. 57, pp. 358-363 (1988).
Alt	53	Bacus et al., "Differentiation of Cultured Human Breast Cancer Cells (AU565 and MCF-7) Associated With Loss of Cell Surface HER-2/neu Antigen," <i>Molecular Carcinogenesis</i> , Vol. 3, pp. 350-362 (1990).
Alt	54	Baselga et al., "Phase II Study of Weekly Intravenous Recombinant Humanized Anti-p185HER2 Monoclonal Antibody in Patients With HER2/neu-Overexpressing Metastatic Breast Cancer," <i>J. Clin. Oncol.</i> , Vol. 14, pp. 737-744 (1996).
Alt	55	Borst et al., "Oncogene Alterations in Endometrial Carcinoma," <i>Gynecol. Oncol.</i> , Vol. 38, pp. 364-366 (1990).
Alt	56	Carter et al., "Humanization of anti-p185HER2 antibody for human cancer therapy," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 89, pp. 4285-4289 (1992).
Alt	57	Chari et al., "Immunoconjugates Containing Novel Maytansinoids: Promising Anticancer Drugs," <i>Cancer Research</i> , Vol. 52, pp. 127-131 (1992).
Alt	58	Cobleigh et al., "Multinational Study of the Efficacy and Safety of Humanized Anti-HER2 Monoclonal Antibody in Women Who Have HER2-Overexpressing Metastatic Breast Cancer That Has Progressed After Chemotherapy for Metastatic Disease," <i>J. Clin. Oncol.</i> , Vol. 17, pp. 2639-2648 (1999).
Alt	59	Cohen et al., "Expression pattern of the neu (NGL) gene-encoded growth factor receptor protein (p185 <sup>neu</sup> ) in normal and transformed epithelial tissues of the digestive tract," <i>Oncogene</i> , Vol. 4, pp. 81-88 (1989).
Alt	60	Drebin et al., "Monoclonal antibodies reactive with distinct domains of the neu oncogene-encoded p185 molecule exert synergistic anti-tumor effects in vivo," <i>Oncogene</i> , Vol. 2, pp. 273-277 (1988).
Alt	61	Drebin et al., "Down-Modulation of an Oncogene Protein Product and Reversion of the Transformed Phenotype by Monoclonal Antibodies," <i>Cell</i> , Vol. 41, pp. 695-708 (1985).
Alt	62	D'Souza et al., "Overexpression of ERBB2 in human mammary epithelial cells signals inhibition of transcription of the E-cadherin gene," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 91, pp. 7202-7206 (1994).
Alt	63	Guérin et al., "Overexpression of Either c-myc or c-erbB-2/neu Proto-Oncogenes in Human Breast Carcinomas: Correlation with Poor Prognosis," <i>Oncogene Research</i> , Vol. 3, pp. 21-31 (1988).
Alt	64	Gu et al., "Overexpression of her-2/neu in human prostate cancer and benign hyperplasia," <i>Cancer Letters</i> , Vol. 99, pp. 185-189 (1996).
Alt	65	Harwerth et al., "Monoclonal Antibodies against the Extracellular Domain of the erbB-2 Receptor Function as Partial Ligand Agonists," <i>The Journal of Biological Chemistry</i> , Vol. 267, No. 21, pp. 15160-15167 (1992).
Alt	66	Hudziak et al., "p185HER2 Monoclonal Antibody Has Antiproliferative Effects In Vitro and Sensitizes Human Breast Tumor Cells to Tumor Necrosis Factor," <i>Molecular and Cellular Biology</i> , Vol. 9, No. 3, pp. 1165-1172 (1989).
Alt	67	Klapper et al., "A subclass of tumor-inhibitory monoclonal antibodies to ErbB-2/HER2 blocks crosstalk with growth factor receptors," <i>Oncogene</i> , Vol. 14, pp. 2099-2108 (1997).
Alt	68	Kraus et al., "Isolation and characterization of ERBB3, a third member of the ERBB / epidermal growth factor receptor family: Evidence for overexpression in a subset of human mammary tumors," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 86, pp. 9193-9197 (1989).
Alt	69	Kumar et al., "Regulation of Phosphorylation of the c-erbB-2/HER2 Gene Product by a Monoclonal Antibody and Serum Growth Factor(s) in Human Mammary Carcinoma Cells," <i>Molecular and Cellular Biology</i> , Vol. 11, No. 2, pp. 979-986 (1991).
Alt	70	Lewis et al., "Differential responses of human tumor cell lines to anti-p185HER2 monoclonal antibodies," <i>Cancer Immunol. Immunother.</i> , Vol. 37, pp. 255-263 (1993).
Alt	71	McCann et al., "c-erbB-2 Oncoprotein Expression in Primary Human Tumors," <i>Cancer</i> , Vol. 65, pp. 88-92 (1990).
Alt	72	McKenzie et al., "Generation and characterization of monoclonal antibodies specific for the human neu oncogene product, p185," <i>Oncogene</i> , Vol. 4, pp. 543-548 (1989).
Alt	73	Myers et al., "Biological Effects of Monoclonal Antireceptor Antibodies Reactive with neu Oncogene Product, p185 <sup>neu</sup> ," <i>Methods in enzymology</i> , Vol. 198, pp. 277-290 (1991).

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Anne C. Holleran

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3/8/2004

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EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
Aut	74. Pietras et al., "Antibody to HER-2/neu receptor blocks DNA repair after cisplatin in human breast and ovarian cancer cells," <i>Oncogene</i> , Vol. 9, pp. 1829-1838 (1994).
Aut	75. Plowman et al., "Heregulin Induces tyrosine phosphorylation of HER4/p180/erbB4," <i>Letters to Nature</i> , Vol. 366, pp. 473-475 (1993).
Aut	76. Plowman et al., "Ligand-specific activation of HER4/p180/erbB4, a fourth member of the epidermal growth factor receptor family," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 90, pp. 1748-1750 (1993).
Aut	77. Liu et al., "Eradication of large colon tumor xenografts by targeted delivery of maytansinoids," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 93, pp. 8618-8623 (1996).
Aut	78. Ross et al., "Prognostic Significance of HER-2/neu Gene Amplification Status by Fluorescence In Situ Hybridization of Prostate Carcinoma," <i>Cancer</i> , Vol. 79, pp. 2162-2170 (1997).
Aut	79. Ross et al., "HER-2/neu Gene Amplification Status in Prostate Cancer by Fluorescence In Situ Hybridization," <i>Human Pathology</i> , Vol. 28, No. 7, pp. 827-833 (1997).
Aut	80. Sadasivan et al., "Overexpression of HER-2/NEU May be an Indicator of Poor Prognosis in Prostate Cancer," <i>The Journal of Urology</i> , Vol. 150, pp. 126-131 (1993).
Aut	81. Schaefer et al., "γ-Heregulin: a novel heregulin isoform that is an autocrine growth factor for the human breast cancer cell line, MDA-MB-175," <i>Oncogene</i> , Vol. 15, pp. 1385-1394 (1997).
Aut	82. Scott et al., "p185HER2 Signal Transduction in Breast Cancer Cells," <i>The Journal of Biological Chemistry</i> , Vol. 266, No. 22, pp. 14300-14305 (1991).
Aut	83. Shepard et al., "Monoclonal Antibody Therapy of Human Cancer: Taking the HER2 Protooncogene to the Clinic," <i>Journal of Clinical Immunology</i> , Vol. 11, No. 3 (1991).
Aut	84. Slamon et al., "Human Breast Cancer: Correlation of Relapse and Survival with Amplification of the HER-2/neu Oncogene," <i>Science</i> , Vol. 235, pp. 177-182 (1987).
Aut	85. Slamon et al., "Studies of the HER-2/neu Proto-oncogene in Human Breast and Ovarian Cancer," <i>Science</i> , Vol. 244, pp. 707-712 (1989).
Aut	86. Sliwkowski et al., "Coexpression of erbB2 and erbB3 Proteins Reconstitutes a High Affinity Receptor for Heregulin," <i>The Journal of Biological Chemistry</i> , Vol. 269, No. 20, pp. 14661-14665 (1994).
Aut	87. Stancovski et al., "Mechanistic aspects of the opposing effects of monoclonal antibodies to the ERBB2 receptor on tumor growth," <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 88, pp. 8891-8895 (1991).
Aut	88. Tagliabue et al., "Selection of Monoclonal Antibodies Which Induce Internalization and Phosphorylation of p185HER2 and Growth Inhibition of Cells with HER2/NEU Gene Amplification," <i>Int. J. Cancer</i> , Vol. 47, pp. 933-937 (1991).
Aut	89. Williams et al., "Expression of c-erbB-2 in Human Pancreatic Adenocarcinomas," <i>Pathobiology</i> , Vol. 59, pp. 46-52 (1991).
Aut	90. Xu et al., "Antibody-Induced Growth Inhibition is Mediated Through Immunochemically and Functionally Distinct Epitopes on the Extracellular Domain of c-erbB-2 (HER-2/neu) Gene Product," Vol. 53, pp. 401-408 (1993).
Aut	91. Zhai et al., "Amplification and Expression of the c-erb B-2/neu Proto-Oncogene in Human Bladder Cancer," <i>Molecular Carcinogenesis</i> , Vol. 3, pp. 254-260 (1990).
Aut	92. King et al., "Amplification of a Novel v-erbB-Related Gene in a Human Mammary Carcinoma," <i>Science</i> , Vol. 229, pp. 974-976 (1985).
Aut	93. Fukushige et al., "Localization of a Novel v-erbB-Related Gene, c-erbB-2, on Human Chromosome 17 and Its Amplification in a Gastric Cancer Cell Line," <i>Molecular and Cellular Biology</i> , Vol. 6, No. 3, pp. 955-958 (1986).
Aut	94. DATABASE:CHEMABS:Online:CHEMICAL ABSTRACTS SERVICE, COLUMBUS, OHIO, US; BRECHBIEL, MARTIN W. ET AL: "Synthesis and evaluation of antiproliferative activity of a geldanamycin-herceptin immunocjugate." Retrieved from STN Database accession no. 2000:796068, XP002164006, abstract & ABSTR. PAP. - AM. CHEM. SOC. (2000), 220TH, MEDI-071.

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